



# Processing Journals

Business Process Workshop (BPW)

2017 STO/SCO Release



# Agenda

- BPW Objectives
- What You Should Take Away
- General Ledger Overview
- User Roles Summary
- Key Terms
- Business Processes
- Role Mapping Activity
- Identifying Change Impacts
- Next Steps
- Appendix

# BPW Objectives

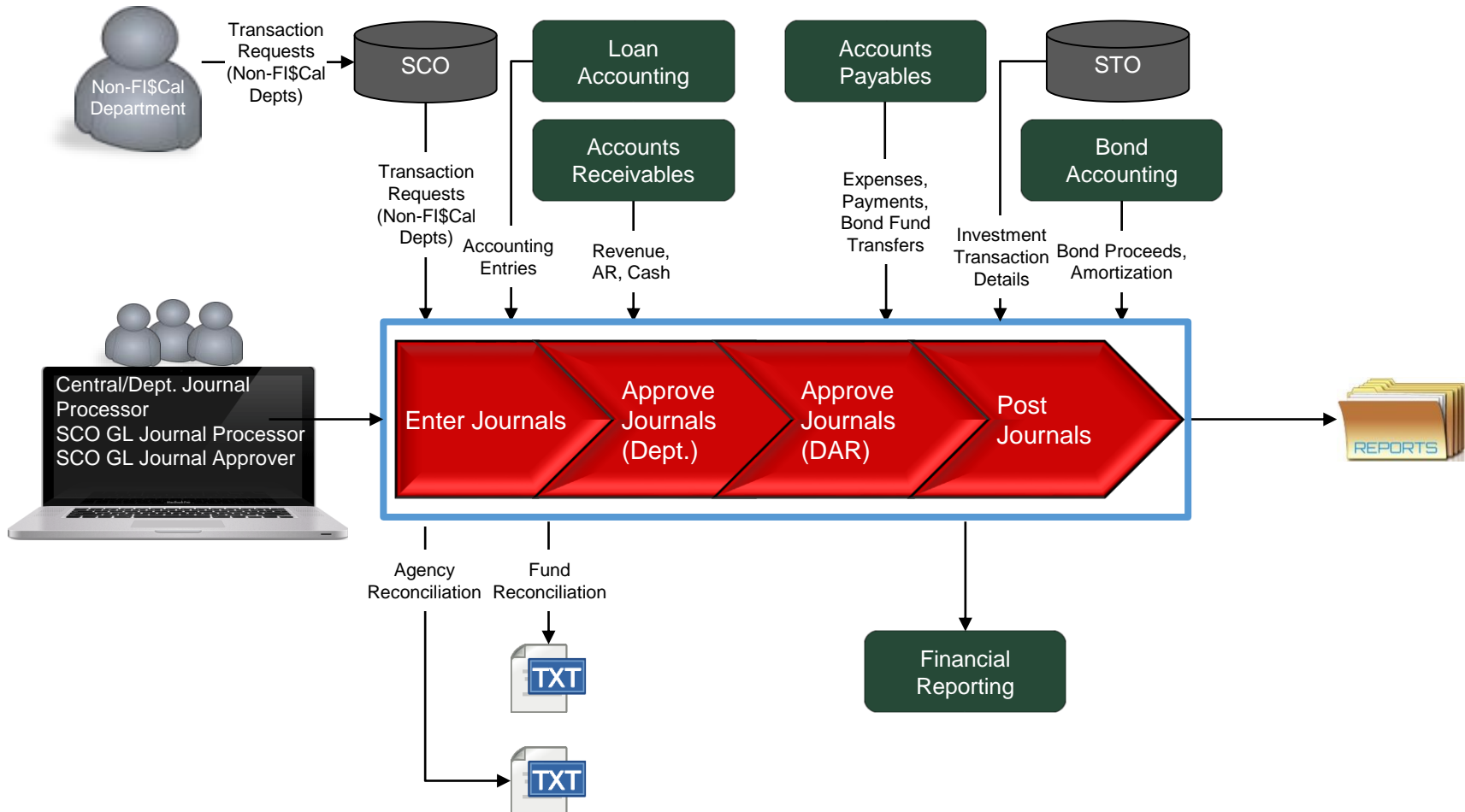
- The Business Process Workshops allow participants to:
  - Learn about new end-user roles and what functions they perform
  - Gain an understanding of the new FI\$Cal business processes
  - See a demonstration of how the new FI\$Cal business processes work in the System
  - Understand the next steps in the implementation phase
  - Know how to get assistance from FI\$Cal



# What You Should Take Away

- Materials from today's session:
  - Business Process Workshop Presentation
  - Role Mapping Tools
  - SCO Change Management Activities
  - STO Change Impact Tool
- Understanding of the new FI\$Cal processes, the next steps, and the support available from FI\$Cal

# General Ledger (GL)



# Key Terms

| Term                       | Definition  |
|----------------------------|---|
| <b>ChartField</b>          | An accounting classification code (Fund, Program, etc.)<br>Similar in usage to existing UCM codes             |
| <b>GL Journal</b>          | Financial transactions posted to a ledger.  |
| <b>General Ledger (GL)</b> | A chronological accounting record FI\$Cal uses to record financial transactions                               |
| <b>Commitment Control</b>  | FI\$Cal process to perform budget checking (also known as KK)   |
| <b>Workflow</b>            | Journals are 'routed' to 'approvers' using workflow. These items can be viewed in the FI\$Cal <i>worklist</i> |

# Department Roles Summary

| FI\$Cal End-User Role | Responsibilities   |
|-----------------------|--|
| <b>GL Processor</b>   | <p>The department end user who:</p> <ul style="list-style-type: none"> <li>- creates journals in the Modified Accrual ledger, runs online Edit Check, runs online Budget Check, and submits to the journal approval process</li> <li>- reviews and updates the journal entries within the Cash Management module and submits them to SCO for review and approval</li> <li>- has access to General Ledger and Commitment Control online inquiry screens and read only access to Create Journal Entry pages</li> <li>- allows users access to view Statewide Controlling budget information</li> <li>- views department-level budgets using online inquiry screens</li> <li>- runs reports and distribute to the Department GL Report Viewer as required</li> <li>- receive nightly batch distributed reports and have access to Report Manager</li> </ul> |

# Department Roles Summary

| FI\$Cal End-User Role | Responsibilities  |
|-----------------------|---|
| <b>GL Approver 1</b>  | <p>The department end user who:</p> <ul style="list-style-type: none"> <li>- is responsible for the first-level approval of department journals from a pooled worklist</li> <li>- has access to General Ledger and Commitment Control online inquiry screens and read only access to Create Journal Entry pages</li> <li>- allows users access to view Statewide Controlling budget information</li> <li>- has access to view department-level budgets using online inquiry screens</li> <li>- runs reports and distribute to the GL Report Viewer as required</li> <li>- receives nightly batch distributed reports and have access to Report Manager</li> </ul> |



# Department Roles Summary

| FI\$Cal End-User Role | Responsibilities  |
|-----------------------|---|
| <b>GL Approver 2</b>  | <p>The department end user who:</p> <ul style="list-style-type: none"> <li>- is responsible for the first-level approval of department journals from a pooled worklist</li> <li>- has access to General Ledger and Commitment Control online inquiry screens and read only access to Create Journal Entry pages</li> <li>- allows users access to view Statewide Controlling budget information</li> <li>- has access to view department-level budgets using online inquiry screens</li> <li>- runs reports and distribute to the GL Report Viewer as required</li> <li>- receives nightly batch distributed reports and have access to Report Manager</li> </ul> |

# Control Roles Summary

| FI\$Cal End-User Role           | Responsibilities  |
|---------------------------------|---|
| <b>SCO GL Journal Processor</b> | <p>The SCO end user who is responsible for</p> <ul style="list-style-type: none"> <li>- creating journals in the Modified Accrual, Cash Adjustment, and Full Accrual Adjustment ledgers</li> <li>- running online edit and budget check</li> <li>- submitting to the journal approval process</li> <li>- processing the transfer of cash into the bond expenditure sub-funds</li> <li>- running the process to load investment accounting details into FI\$Cal</li> <li>- running the process to pass Transaction Requests details to FI\$Cal.</li> </ul> |

# Control Roles Summary

| FI\$Cal End-User Role          | Responsibilities  |
|--------------------------------|---|
| <b>SCO GL Journal Approver</b> | <p>The SCO end user who is responsible for</p> <ul style="list-style-type: none"> <li>- approving specified journals</li> <li>- approving AR direct journal payments</li> <li>- reviewing and approving investment accounting entries and configuring PMIA Participants</li> <li>- reviewing and approving department requests for transfers between CTS bank accounts</li> <li>- correcting claim funding information in case of invalid ChartField translation</li> <li>- updating and correcting funding information for claims marked in error, running the claim validation process, and setting up the Legacy Defaults page.</li> </ul> |

# Control Roles Summary

| FI\$Cal End-User Role                  | Responsibilities  |
|--|---|
| <b>SCO GL Configuration Maintainer</b> | <p>The SCO end user who is responsible for</p> <ul style="list-style-type: none"> <li>- creating and maintaining the CM accounting templates for the External Transactions table for food vouchers, unemployment insurance, and disability insurance</li> <li>- maintains the configuration pages related to the Average Daily Balance Calculation process</li> <li>- maintaining the supporting configuration for the Bond Cash Transfer Extension</li> <li>- maintaining the supporting configuration of the Investment Accounting Interface.</li> <li>- maintaining the configuration related to the ledger extract processes</li> <li>- managing the configuration of the Transaction Request Interface</li> <li>- adding / updating general configuration for loan accounting</li> </ul> |



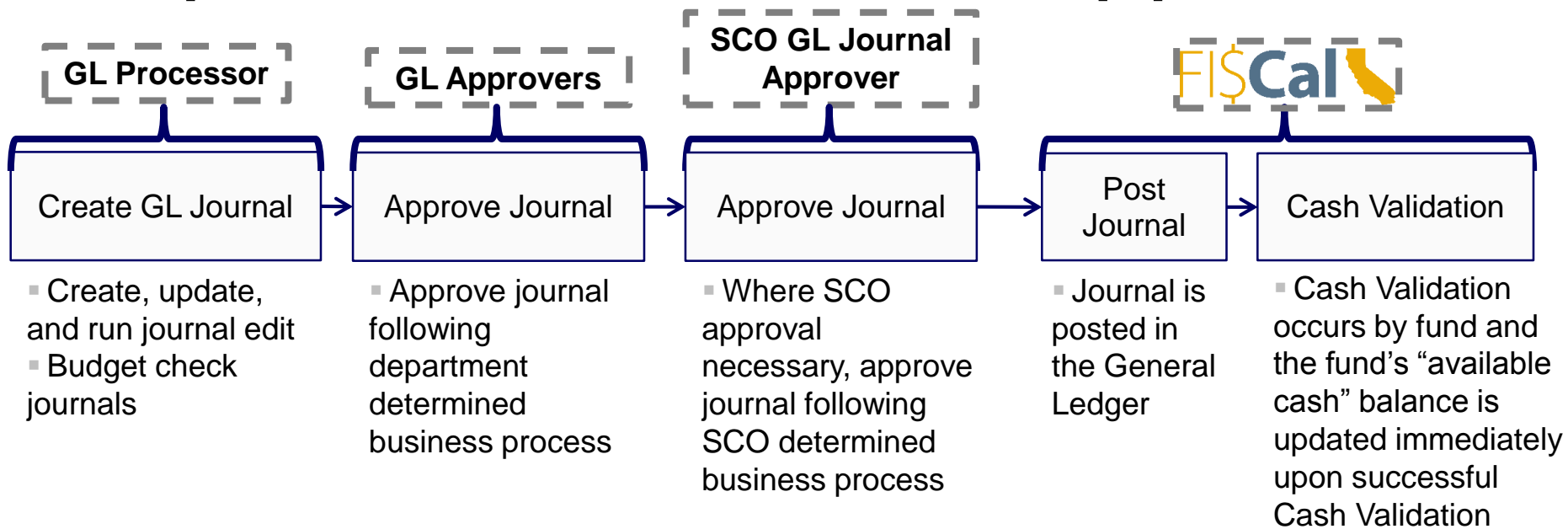
# GL Journal Approval Workflow

- The three sources of input that are covered in this BPW are journal workflow, ledger entries, and interfaced transactions
- FI\$Cal Department's journals are subject to departmental approval, unless the department chooses not to.
- FI\$Cal Department's Journals are conditionally required for SCO approval based on if the journal has a non-zero impact to an item of appropriation or any state fund's cash, in which case it must be routed to SCO for approval.
  - Approvers can be notified of a journal requiring their review by an email and by an entry in their *worklists*.
- SCO can also enter and approve journals on behalf of another department.

# Future Dating Journals

- Future dated journals, such as the gross payroll entry, will post when the system date equals the accounting date.
- Future Dated journals can be pre-budget check or budget checked at appropriation and cash validation without concern for their posting to the ledger.

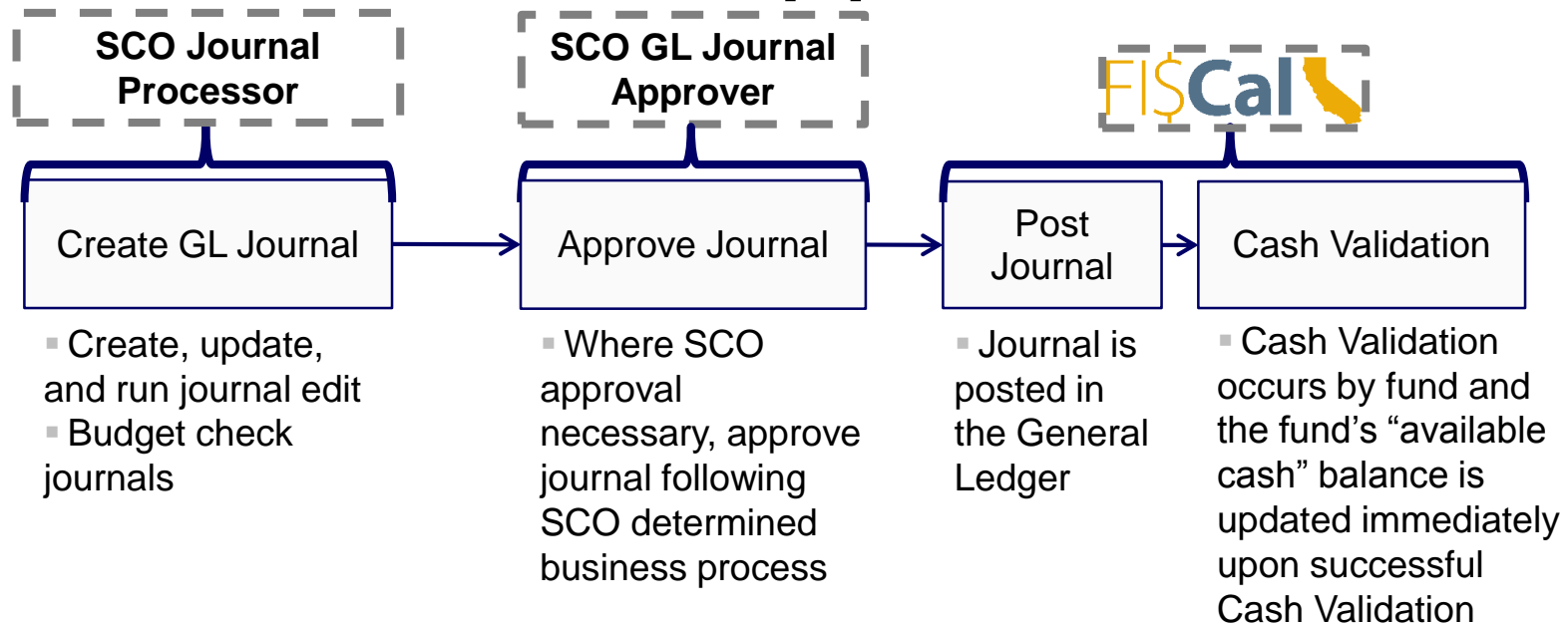
# Departmental Journal Approval



## Key Impacts

- The approver can choose to post upon approval or when the next FI\$Cal batch occurs.
- If journal has a non-zero impact to an item of appropriation or any state fund's cash it must be routed to the SCO for approval

# SCO Journal Approval

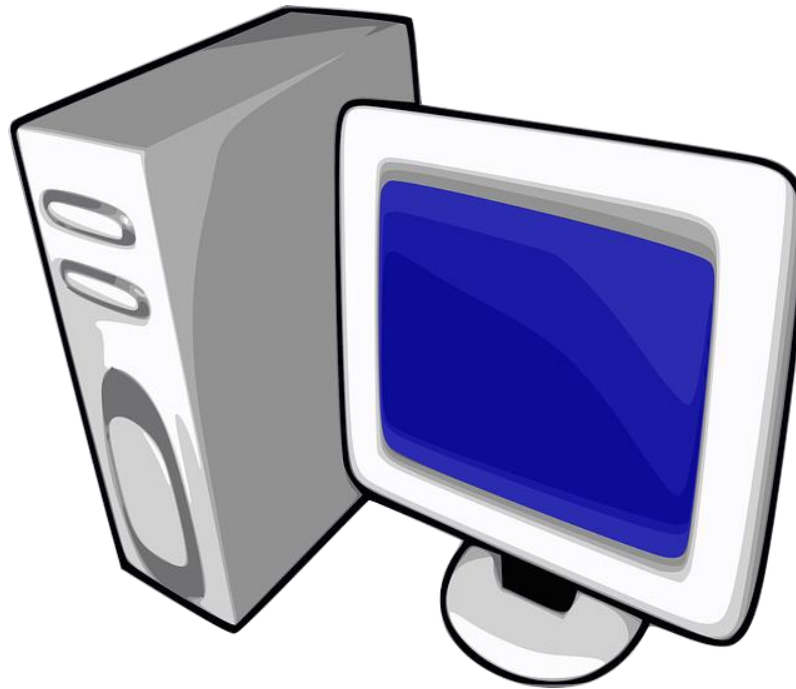


## Key Impacts

- The approver can choose to post upon approval or when the next FI\$Cal batch occurs.
- If journal has a non-zero impact to an item of appropriation or any state fund's cash it must be routed for approval



# Demonstration



# Processing Legacy Transactions

- Previously, all departments prepared and submitted to the SCO Transaction Request forms (including financial statements) to initiate the recording of journal entries in the Legacy SCO FISCAL system. The submission of Transaction Requests by *non-FI\$Cal* departments will continue.
- SCO Legacy Fiscal will no longer exist. A new process has been created that will interface Transaction Requests to FI\$Cal. UCM values are translated into FI\$Cal ChartFields.
- Processing Legacy Transactions includes:
  - Legacy Transactions
  - SCO Transaction Requests Processing

# Legacy Transactions

All other Transaction Codes will be processed directly in FI\$Cal or by a different interface.

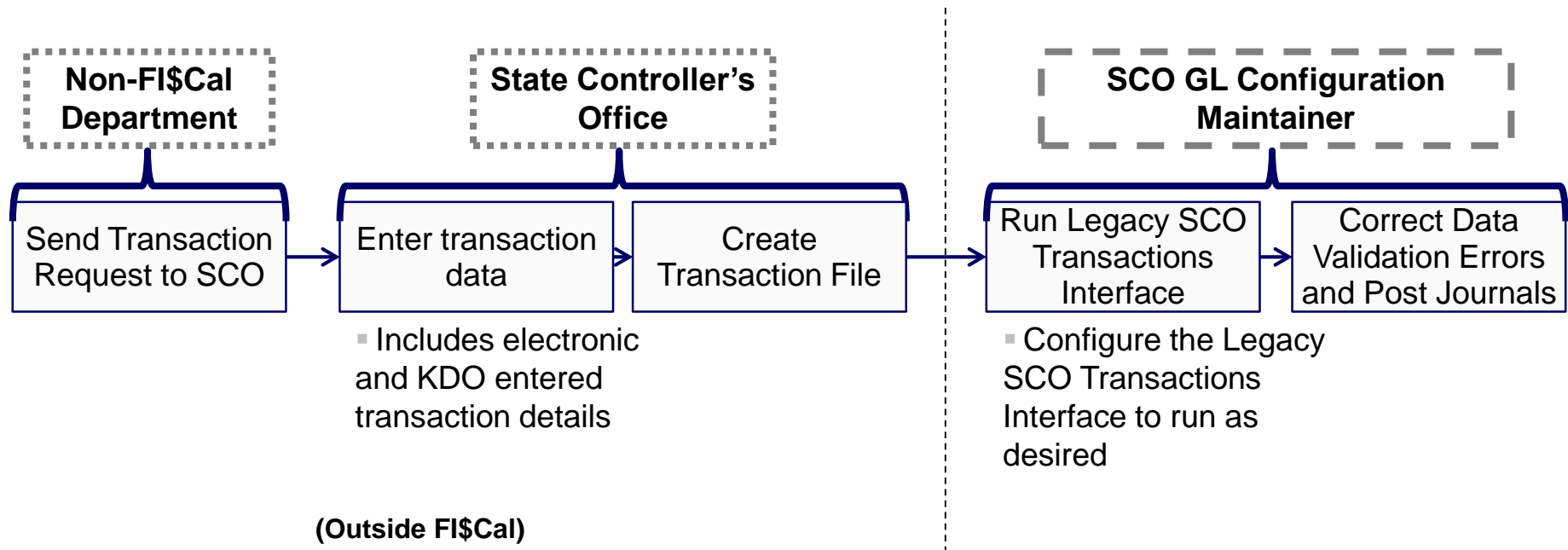
## ■ Legacy FISCAL

- TC 35 General Journal
- TC 36 Plan of Financial Adjustment
- TC 37 Payroll Revolving Fund Transfers (CLO & CLR)
- TC 38 Cash Transfer
- TC 39 No Warrant Transfer
- TC 47 eFITS Remittance
- TC 48 ORF Replenishment

## ■ Legacy Reporting

- TC 34 Report of Accruals/Adjustments to SCO
- TC 71 Encumbrance
- TC 72 Encumbrance Reclass
- TC 84 Nongovernmental Cost Fund Pre-Closing Trial Balance

# SCO Transaction Interface



## Key Impacts

- Transaction Codes and UCM values are used to generate accounting entries and, after appropriate validation, are posted in the FI\$Cal General Ledger.



# Overview of Role Mapping

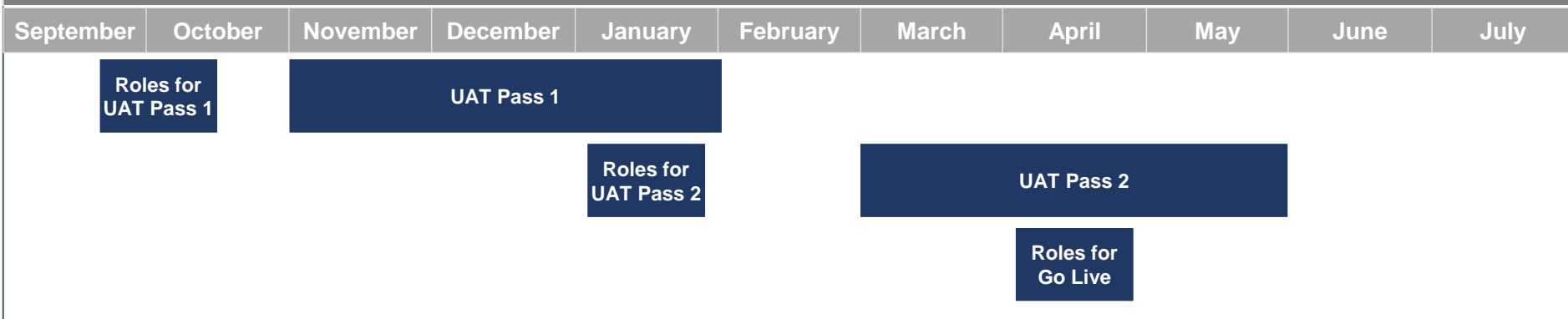
## Description

Role Mapping activities allow SCO and STO to assign security roles to end users based on their job requirements and the type of work they will perform in FI\$Cal. Security roles define what users can see and do in FI\$Cal.

## MDW Tasks

- TECH325a: Assign Roles for UAT Pass 1
- TECH330a: Assign Roles for UAT Pass 2
- TECH335a: Assign Roles for Go Live

## Role Mapping Timeline



# How Role Mapping is Used

- To define what end users see and do in FI\$Cal
- To identify department end users for FI\$Cal end-user training
- To map users to required FI\$Cal end-user training courses based on their role assignments
- To identify participants for department change discussions
- To support enforcement of separation of duties
- To support enforcement of hard stops

# Role Mapping Tools

- Role Mapping Task Instructions and Response Template (TECH325a, TECH330a, TECH335a)
- SCO/STO Release Role Description Handbook
- FI\$Cal Separation of Duties (SOD) Matrix
- FISCAL Hard Stops Matrix
- SCO/STO Release Business Process Workshop (BPW) presentations

Materials are available on the FI\$Cal website:

[http://fiscal.ca.gov/wave\\_3\\_resources/index.html](http://fiscal.ca.gov/wave_3_resources/index.html)

# Separation of Duty and Hard Stops

**Separation of Duty (SOD):** The FI\$Cal Separation of Duties Matrix defines roles that should not be assigned together

*Examples:*

| If you are an employee of... | and you are assigned...                     | you should not also be assigned... |
|------------------------------|---|------------------------------------|
| SCO or STO                   | SCO Warrant Status Configuration Maintainer | AP: SCO Warrant Processor          |
| SCO or STO                   | AR Payment Processor                        | BI/AR: STO Deposit Slip Processor  |

**Hard Stops:** Hard stops are set in FI\$Cal to prevent a user from doing something that could be considered a SOD violation

*Examples:*

| If you are assigned the role of... | and you also are assigned the role of... | the System will not allow you to...     |
|------------------------------------|--|---|
| SCO AP Processor                   | SCO AT Approver 1-4                      | Approve vouchers you have created       |
| STO Cash Transfer Processor        | STO Cash Transfer Approver               | Approve cash transfers you have created |



# TECH325a: Assign FI\$Cal Roles for UAT Pass 1

- **Release Date:** Tuesday, September 20, 2016
- **Due Date:** Wednesday, October 5, 2016
- **Task Information:** Assign FI\$Cal roles to all SCO and STO end users in preparation for UAT Pass 1 starting in November and in support of future training assignments
- **Key Reminders:**
  - All submissions must be received by a Departmental Authority or Designee (DAD)
  - DADs cannot submit role assignments for themselves (i.e., another DAD must submit)
  - Do not make changes to the template format (e.g., add columns, remove columns, etc.)

# TECH325a Template Preview

The TECH325a Response Template consists of two main parts:

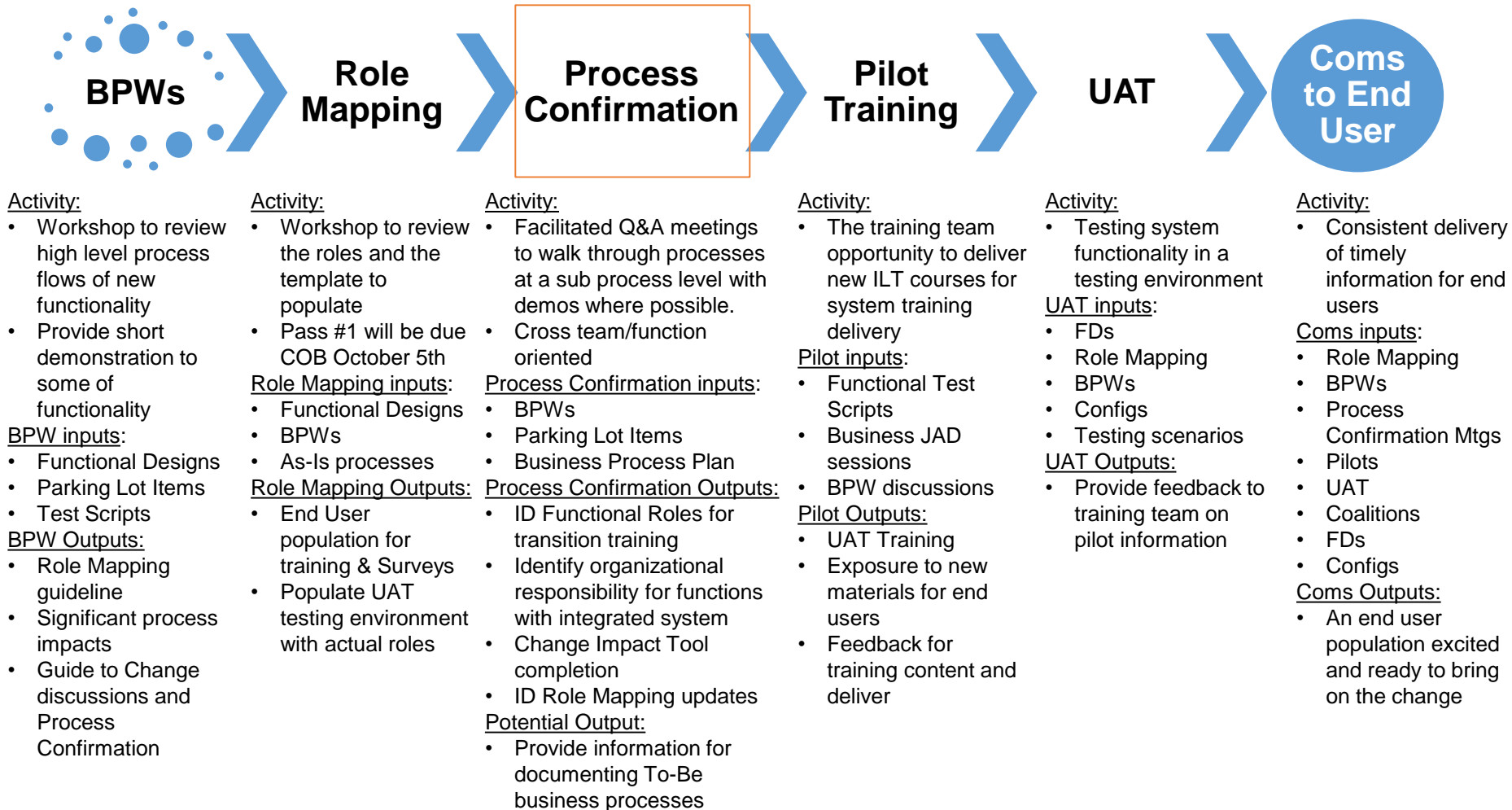
- **User Information:** Complete all information for each end user who will have access to FI\$Cal for the SCO/STO Release

| User Information |            |             |                        |                   |                 |                     |       |        |  |   |                                 |  |
|------------------|------------|-------------|------------------------|-------------------|-----------------|---------------------|-------|--------|--|---|---------------------------------|--|
| BU*              | Last Name* | First Name* | Middle Name or Initial | Department Email* | Phone*<br>##### | Job Classification* | City* | State* | Location*<br>(Select the closest Training Hub) | Training Accommodation Requests or Assistive Learning Needs | State employee?*<br>(Yes or No) | Current or Previous end user of FI\$Cal?<br>If yes, provide current/prior email address(es) used for FI\$Cal access. |
|                  |            |             |                        |                   |                 |                     |       |        |  |   |                                 |  |
|                  |            |             |                        |                   |                 |                     |       |        |  |   |                                 |  |
|                  |            |             |                        |                   |                 |                     |       |        |  |   |                                 |  |
|                  |            |             |                        |                   |                 |                     |       |        |  |   |                                 |  |

- **FI\$Cal Roles** (listed by Module): Mark with an “X” any role that should be assigned to the user (a brief description is included)

|  |   | Bond Accounting (BA)   |   |  |   |  |  |  |
|--|---|--|---|--|---|--|--|--|
| STO Deposit Slip Maintainer  | STO Deposit Slip Processor  | Bond Viewer  | SCO Bond Maintainer   | SCO Bond Processor   | STO Bond Maintainer   | STO Bond Processor   | Central Bank Statement Import Processor  | Central Bank Statement Processor   |
| Mark with an "X" the STO end user who will configure any configuration relate to the deposit slip. | Mark with an "X" the STO end user who will enter and update deposit slip information for non-FI\$Cal departments. | Mark with an "X" the SCO, STO, or department end user who will run inquiries on bonds. | Mark with an "X" the SCO end user who will have responsibility for any interface processing related to bonds. | Mark with an "X" the SCO end user who will process bonds, including viewing bond details to validate, reversing bonds, and performing any necessary manual refunding or defeasances. | Mark with an "X" the STO end user who will have responsibility for any interface processing related to bonds. | Mark with an "X" the STO end user who will process bonds, including viewing bond details to validate, reversing bonds, and performing any necessary manual refunding or defeasances. | Mark with an "X" the central end user who will maintain bank integration configuration and import bank statements from the State Treasurer's Office (STO) and SCO into the system when the automated batch process has problems. | Mark with an "X" the central user who will maintain bank integration configuration and perform modifications to Ba Statements created by the Statement Import process. |
|  |   |  |   |  |   |  |  |  |
|  |   |  |   |  |   |  |  |  |
|  |   |  |   |  |   |  |  |  |
|  |   |  |   |  |   |  |  |  |

# SCO Change Management Activities (Sept 2016-Feb 2017)



# Change Impact Activity

- Description:
  - A walkthrough with the FI\$Cal team to assist departments to complete example change impacts
  - Departments will have the understanding on how to complete the remainder of the tool on their own
  - At your table, discuss how the FI\$Cal business processes and related change impacts may affect your department
  - Document three impacts in your BPW Change Impact Tool
- Roles:
  - Facilitator – Helps lead the discussion with your department on the FI\$Cal business processes and change impacts
  - Recorder(s) – Captures the department-specific impacts from the activity in your BPW Change Impact Tool
- Tool:
  - Change Impact Tool – Task to document the changes in People, Process, Technology, and Communication that will arise from the implementation of FI\$Cal business processes

# Next Steps

- Share BPW materials at your department
- Attend Process Confirmation Meetings
- Complete the BPW Change Impact Tool
- Identify and work on updating internal department policies, processes, and documentation
- Prepare for:
  - Submit Role Mapping Task – October 5, 2016
  - Participate in Pilot Training – October to November 2016
  - Participate in User Acceptance Testing Pass 1 – November 2016 to January 2017
  - Change Workshop – December 2016
  - End-User System Training – March 2017 to May 2017



# Question and Answer



FI\$Cal Information:

<http://www.fiscal.ca.gov/>

or e-mail the FI\$Cal CMO Team at:

[fiscal.cmo@fiscal.ca.gov](mailto:fiscal.cmo@fiscal.ca.gov)



# Appendix